

M3 Advisors, LLC. Privacy Notice

Your Privacy is Our Highest Priority

At M3 Advisors, LLC and its affiliated companies ("M3"), our customers are our highest priority. As providers of financial products and services that involve the collection of personal, and often sensitive information; protecting the confidentiality of that information has been, and will continue to be, a top priority. Due to the sensitive nature of this personal information, M3 believes that you should know how your information is handled, the measures we have taken to safeguard that information and the situations in which we might share your information with select business partners. Our privacy promise to you is based upon the basic principles of trust, ethics and integrity.

The Information Collected by M3

When you deal with M3, certain personal and financial information is collected from you. M3 uses this information to serve your financial needs and to fulfill legal and regulatory requirements. The information gathered for these purposes varies depending on the products or services that you request but may include, for example, your name, address, social security number, net worth, annual income and certain medical information.

To Whom Your Information May Be Disclosed

For both current and former customers, M3 restricts access to your personal and financial information to those instances described below:

Individuals: Your personal and financial information will be provided to those employees, registered representatives, their assistants and those who process information or the transactions of M3 in connection with the products or services being provided to you.

To companies with which M3 has selling agreements. M3 will share your personal and financial information with other financial services entities, such as insurance companies and mutual fund companies, in order to effect transactions which you have requested or authorized. In such cases, those companies are prohibited, by agreement, from using information about you except for the narrow purpose for which it was given to them.

Other companies as necessary to process your business Your personal and financial information will be provided to third-party administrators and vendors utilized by M3 to effect, administer or enforce a transaction that you requested or authorized. M3 must share your personal information with its clearing or custodial firm in order to process that business. These companies, like those in the category above, are prohibited, by agreement, from using information about you except for the narrow purpose for which it was given to them.

Where required by law or regulation. M3 may be required by law or regulation to disclose your personal and/or financial information to a third party; for example, in response to a subpoena or to comply with industry rules and regulations. As otherwise authorized or permitted by law. For example, the law permits M3 to respond to requests for information about you from a consumer-reporting agency. As authorized by you. Only upon your direction or with your permission will M3 share your information with a third party other than as described in this notice. M3 will not share your nonpublic information with any person or company that does not agree to keep your information confidential.

Protection of Information

M3 has instituted security procedures that limit employee access to nonpublic personal information to those with a business reason for knowing such information. We educate our employees so that they will understand the importance of confidentiality and customer privacy. All M3 employees are aware of the company's privacy guidelines and M3 will take the appropriate disciplinary measures to enforce customer privacy assurances. M3 maintains appropriate security standards and procedures to prevent unauthorized access to customer information and to preserve the integrity of that information.